

**DEPARTMENT OF HOMELAND SECURITY**  
**U.S. Customs and Border Protection**

**CBP DIRECTIVE NO.** 3550-067A

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**ORIGINATING OFFICE:** OT:ESD

**SUPERSEDES:** CD 3550-067, 2/2/94

**REVIEW DATE:** June 2014

**SUBJECT: ENTRY SUMMARY ACCEPTANCE AND REJECTION POLICY**

**1. PURPOSE.** This directive provides guidelines for uniform acceptance and rejection of entry summaries for U.S. Customs and Border Protection.

**2. POLICY.**

2.1 The policy for the acceptance and rejection of entry summaries was revised in Customs Directive 3550-25, dated September 8, 1987, Entry Simplification-Acceptance and Reject Policy. This issuance updates the procedures set forth in that directive.

**3. AUTHORITIES/REFERENCES.** 19 CFR, Parts 24.1(3)(i), 111, 141.64, 142.13, Electronic Invoice Program (EIP) and Remote Location Filing (RLF) Handbook.

**4. RESPONSIBILITIES.**

4.1 Directors, Field Operations are responsible for ensuring that the provisions of this directive are carried out effectively and uniformly throughout their areas of responsibility.

4.2 Port directors are responsible for ensuring that the provisions of this directive are followed and uniformly applied. They are also responsible for the dissemination of the contents of this directive to personnel within their jurisdiction

4.3 CBP has a duty to assure the accuracy of information submitted to that agency by penalizing negligent or fraudulent omissions and/or inaccurate submissions, the presumption of regularity entails the reasonable conclusion that, in the absence of evidence to the contrary, the data obtained by customs officials in their regular course of business is accurate.

**5. ACS ENTRY SUMMARY PROCEDURES.**

5.1 The following procedures are to be followed at all CBP locations that process entry summaries:

5.1.1 Collection Processing

#### 5.1.1.1 ABI/non-statement (ABI/N) and non-ABI entry summaries

5.1.1.2 Certain entry summary elements are reviewed during initial processing by collection personnel who determine the validity of an entry summary.

5.1.1.3 Errors that will result in the rejection of the entry summary after acceptance using ENAX without collection of estimated duties/taxes/fees of non-ABI and ABI/N entry summaries during collection review and processing are as follows:

- Check is not negotiable, e.g., not signed or co-signed when required.
- Check does not meet the requirements of 19 CFR 24.1(3)(i); e.g., unsecured third party checks.
- No duty or check attached and money is due (unless letter attached by broker stating entry summary submitted without payment).
- The CBP Form 7501 Block 40 Summary is missing or incorrect.
- Invalid entry number – entry summaries submitted with an invalid entry number cannot be accepted using function ENAX. Local policy should be established to handle the situation. The entry summary may be rejected to the filer with payment attached or the entry summary may be retained in the entry unit and the filer contacted via telephone for the corrected entry number. The entry summary is considered filed the day it was presented to CBP even though the entry number was invalid.

5.1.1.4 Checks with different amounts – If the written and numeric amounts on a check differ, the check should be accepted and deposited with the collection processed for the written amount; as long as the written amount is no more than \$1 greater than the exact amount due; otherwise, the summary will be rejected.

5.1.1.5 Rejected entry summaries must be returned to CBP in valid status with payment within 2 working days from day of rejection or a liquidated damages case for no file (if entry summary is not returned), or late file (if entry summary returned late) may result.

5.1.1.6 Non-ABI and ABI/N entry summaries determined to be valid during collection review will be processed for collection in ACS. Non-ABI and ABI/N entry/entry summaries will be forwarded for summary processing after collection processing.

#### 5.1.2 Statement Entry Summaries Paid with Check/Cash-ABI/S

5.1.2.1 Errors that will result in the return of the check to the filer (the preliminary printout and entry summaries will be retained in the entry unit) are as follows:

- Check is not negotiable, i.e., not signed or co-signed when required.
- Check does not meet the requirements of 19 CFR 24.1(3)(i); e.g., unsecured third party checks.
- Statement total is not in agreement with the check.

5.1.2.2 When the proper payment is returned to CBP, the statement will be accepted with function DSAA using the date of initial submission of the statement paperwork as the collection date.

#### 5.1.3 Statement Entry Summaries Paid via ACH – ABI/A

5.1.3.1 Statements paid via ACH are not processed for collection in the entry unit, so payment will not be verified.

5.1.3.2 Repetitive problems with filing of ABI/A and ABI/S statements, e.g., entry summaries not in order, entry summaries missing, should be brought to the attention of the entry supervisor who should discuss the situation with the filer for correction of further submissions. Failure to correct the problem may result in enforced compliance.

#### 5.1.4 Entry/Entry Summaries

5.1.4.1 Entry/entry summaries (“live entries”) that are determined to be unacceptable during initial processing by entry personnel as described in Section 5.1.2 above, during import specialist review, or during quota input should be returned to the filer without summary input into ACS. The presentation date should be crossed out by CBP personnel before the entry/entry summary is returned.

5.1.4.2 Entry/entry summaries that are found to be unacceptable after summary input in ACS using function ENAX must be rejected in ACS using the ENRJ function before rejection to the filer.

5.1.4.3 At summary processing (ENAX) the “live” entry indicator (e.g., ABI/N/L) should be verified to ensure that the entry summary is actually “live.”

#### 5.2 Acceptance Review (ABI and non-ABI Entry Summaries)

5.2.1 Once collection processing is completed, the valid entry summaries will then pass through acceptance review and processing that is intended to accomplish the highest possible rate of immediate liquidations. Entry/entry summaries will go through acceptance review before collection processing.

#### 5.2.2 Entry Summary Targeting (ABI Entry Summaries)

5.2.2.1 For ABI entry summaries, targeting occurs at the time of transmission. Results will be displayed at collection processing or at summary processing (if no collection is made) for ABI/N entry summaries. If the entry summary is designated for bypass and immediate liquidation, ACS will assign a batch file location number. For ABI entry summaries filed by statement processing, results of entry summary selectivity will appear on the CBP preliminary and final statements. After the statement is processed through function DSAA or the ACH payment is accepted, batch file location numbers will

appear on the Daily Statement Report (A04) for those entry summaries selected for immediate liquidation.

### 5.2.3 Review (Non-ABI Entry Summaries)

5.2.3.1 Non-ABI entry summaries will be input (ENAA/ENAX) into ACS by the entry unit then forwarded to the import specialist for review. Errors that cause rejection of non-ABI entry summaries after collection, but before summary processing in ACS (unless no collection is made), include:

- Entry summary not signed or no facsimile signature.
- ABI/A, ABI/S or ABI/N indicator in Block 2 of the CBP Form 7501 on a non-ABI entry summary. Such non-ABI entry summaries will be identified upon collection input when the team assignment number and entry summary processed messages are not received during initial ACS collection processing. The filer must correct Block 2 and provide a Census copy of the CBP Form 7501.
- Non-ABI summary following an ABI release. Such summaries will be identified during collection processing by receipt of the message "ENTRY SUMMARY MUST BE ABI". Overriding the message will place the summary in reject status.

5.2.3.2 Non-ABI entry summaries will be forwarded by the entry unit to the import specialist for further review and processing.

### 5.2.4 Summary Processing (Non-ABI Entry Summaries and Non-ABI Entry/Entry Summaries) – System Edits

5.2.4.1 Some of the errors that cause rejection of non-ABI entry summaries and entry/entry summaries due to ACS edits at the time of processing the summary using function ENAA/ENAX include:

- Invalid/incorrect entry type code.
- Invalid/incorrect bond or surety.
- Invalid/incorrect importer or consignee number.
- Invalid/incorrect reference number (Block 24 CBP Form 7501).
- Total entered value missing.
- If the summary is non-ABI and the release information was transmitted through ABI, the system will display the message "JEA – ENTRY SUMMARY MUST BE ABI", and display a PF 8 key. When depressed, the PF 8 key will cause the entry summary to be placed in rejected status.

### 5.2.5 Import Specialist Review (Both ABI and non-ABI Entry Summaries)

5.2.5.1 Import Specialists will reject entry summaries only in instances where objective, substantive errors have been found.

5.2.5.2 Specific errors that justify rejection of an entry summary as a result of import specialist compliance review include:

- Impossible HTS number and/or rate of duty (e.g., HTS or duty rate not in effect on entry date; HTS incompatible with country of origin; HTS incompatible with unit value).
- Admissibility issues – document statements or omissions that establish or indicate that merchandise is inadmissible; e.g., visa or license required, prohibited merchandise, etc.
- Census (statistical) error conditions that the import specialist cannot resolve based on the information presented, or complex statistical errors requiring extensive mathematical calculations affecting 2 or more line items.
- Certain missing documents – documents that cannot be waived as specified in the missing documents section (CBP Form 7501 instructions), and commercial invoices when necessary.
- Classification or value errors that would result in a change liquidation.
- When preparers are documented to have repeatedly made the same errors.
- Merchandise subject to antidumping/countervailing duties.

5.2.5.3 Entry summaries should not be rejected when requesting further information or when the import specialists have questions not related to the above instances. A CBP Form 28 should be used for this purpose. If charges are missing, CBP will provide an amount to be underlined. The amount will be determined using product knowledge and expertise.

5.2.5.4 It is not CBP policy to reject a summary solely for an incorrect team assignment. However, if after counseling, a filer continues to submit summaries with incorrect team assignment indicators, that filer's summaries may be rejected.

5.2.5.5 Electronic invoices (All) and EDIFACT may be rejected according to the process set forth in the Electronic Invoice Program (EIP) and Remote Location Filing (RLF) Handbook. If the invoice is requested because there is no electronic invoice (All), the filer has 2 days to transmit the All. Any additional documentation required by import specialists for EIP/RLF review must be requested using the procedures set forth in the EIP/RLF handbook.

### 5.3 Processing Rejected Entry Summaries

5.3.1 Entry summaries must be processed so that all errors are addressed on the same reject. Other than the initial collection review (see 5.1.1 above), all rejection actions should be accomplished on the first pass-through (ATS/Bypass Review, Summary Processing, and Import Specialist Review), whenever possible, prior to being

rejected for correction. Entry summaries that meet the previously discussed rejection criteria (Part 5.2.5.2) are to be placed in rejected status in ACS by the entry unit, using the ENRJ function. This processing will enable the rejected entry summary to be tracked in ACS and to assist in establishing a rate of rejection for the filer. These are significant features that will ensure uniform processing and enforcement of accountability.

5.3.2 All entry summaries that will be returned to the filer/broker for correction must be placed in ACS "reject" status. ACS "rejected" status is accomplished as follows:

- ACS data errors – ACS system rejects are created for data errors on entry summaries by using the appropriate override function key on the ENAA/ENAC/ECOR screen.
- Errors other than ACS data errors (e.g., entry personnel/import specialist review errors) – such rejected entry summaries are established as ACS rejects by processing them through the ENRJ function.

5.3.3 Rejected entry summaries are to be time-stamped in by the filer at the time of resubmission. These times are necessary in determining timely filing. If the CBP Form 7501 has been re-typed, the original(s) must be resubmitted with the package. Subsequent to correction and resubmission, the entry summary will be updated to ACS accepted status, using the ENAC or ECOR function.

5.3.4 The ACS List of Rejected/Cancelled Entries (B06) is a weekly report available in ACS. The report includes all ACS/ACE rejected-status entry summaries. This report is an important tool that is to be used to track outstanding or unprocessed entry summaries in rejected status.

## 5.4 Time Limits

5.4.1 Non-ABI entry summaries may be rejected at any time up to 30 calendar days following the summary filing date. ABI/A, ABI/S or ABI/N entry summaries may not be rejected after 10 working days following the presentation date for all errors, including Census errors. The only exception to these time frames is for all entry summaries subject to anti-dumping and/or countervailing duty cases (ABI and non-ABI). These summaries may be rejected up to 60 days without supervisory approval, and up to 90 days with a supervisory approval.

5.4.2 After these dates, an entry summary is considered "accepted" for the purpose of 19 CFR 141.64 and can no longer be rejected. It is important to note that those time limits are intended as a maximum limit. In the interests of timely statistical reporting, efficiency, and professionalism, all rejected entry summaries are to be processed expeditiously and on a priority basis.

## 5.5 Rejection Effect on Entry Summary Filing Time Limit

5.5.1 Entry summaries must, by regulation, be filed with CBP within 10 working days of the date of entry, or immediate delivery release, when applicable. The 10-working-day filing period will continue to be calculated on a cumulative basis, with those working days that an entry summary is not in CBP possession counted against the filer. In all cases, the day of initial submission to CBP will be counted against the 10-day filing requirement.

5.5.2 Generally, the filer has 2 working days to resubmit an entry summary after the day of rejection. However, if the summary was initially submitted to CBP and rejected before the 10<sup>th</sup> day of the filing period, the filer has the remainder of the 10-working-day period to resubmit the summary, but never less than 2 working days for resubmission. For example, if an entry summary is rejected on the 5<sup>th</sup> day, it is due on the 10<sup>th</sup> day; if an entry summary is rejected on the 9<sup>th</sup> day, it is due on the 12<sup>th</sup> day.

5.5.3 The only exception to the 2-working-day period for resubmission of rejected entries is for entry summaries rejected after 10 working days in order to correct errors related to antidumping and/or countervailing duty cases. Regardless of when they are rejected, those summaries must be resubmitted to CBP within 10 working days from the date of reject.

5.5.4 The 2-working-day period for resubmission of rejected summaries is a grace period granted by CBP. If the filer does not resubmit the summary within 2 working days after rejection, the 2-day grace period is not subtracted when calculating the mitigated liquidated damages amount in a claim for liquidated damages for a late filed entry summary. The day the entry summary is resubmitted (when the summary is not resubmitted timely) is not counted when calculating the mitigated amount. In other words, if an entry summary is rejected on day 10 and resubmitted 7 calendar days later, the summary is considered 6 days late in a claim for liquidated damages for a late filed entry summary. All calendar days after the date of rejection, including weekends and holidays are counted, but the day of resubmission is not counted.

5.5.5 The time/date stamping (out and in) of rejected entry summaries, as previously directed, is critical in computing the filing period. Port procedures for computing the filing period for out-port entry summaries may continue where necessary, provided they do not conflict with the guidelines specified above.

5.5.6 It is the responsibility of the importer/broker to file entry summary documents in proper form. It is costly and time consuming for CBP to correct or reject entry summaries. Importer or brokers who consistently file entry summaries not in proper form must be notified in writing by CBP field managers to immediately improve their submissions. This includes submissions that are consistently poor and below standard. If entry summary documents continue to be filed in improper form, the port/area directors may exercise their authority under 19 CFR 142.13, and require that the entry summary, with estimated duties/taxes/fees, be filed at the time of entry. The port/area directors may also exercise their authority under the Customs Broker Regulations, 19

CFR 111, and initiate appropriate penalty action. The justification(s) for any such action under those regulatory sections must obviously be well documented.

## **6. REJECTING AN ACE ENTRY SUMMARY.**

### **6.1 After Collection in ACS**

6.1.1 Collection processing occurs in ACS. Once a preliminary daily statement (periodic daily and regular daily) is generated for the entry summary, entry summary control is updated to "CBP". At this point, the filer can no longer make changes to entry summary data without CBP intervention. The payment/collection status of any entry summary is determined in ACS and ACE receives the status update through the ACE-ACS interface. Whenever there is a collection status update in ACS, the changes are updated in ACE.

6.1.2 The filer will receive ABI entry summary status message with notification that CBP has rejected the entry summary. Generally, the filer has 2 business days to respond to the reject. The only exception to the 2-working-day period for resubmission of rejected entries is for entry summaries rejected after 10 working days in order to correct errors related to antidumping and/or countervailing duty cases. Regardless of when they are rejected, those summaries must be resubmitted to CBP within 10 working days from the date of reject.

6.1.3 ATS targets the retransmitted ACE entry summary, which may generate a validation activity. If this happens, the CBP user should close the initial validation activity; record the result of the entry summary reject, then review the new issue within the system-generated validation activity.

### **6.2 Processing of ACE Rejected Entry Summaries**

6.2.1 Currently, there is only 1 reject reason code which is transmitted in the outbound message to the filer. The CBP user should indicate the reason for the reject in the remarks field.

### **6.3. Rejecting Due to an Invalid Entry Type Code (other than 01, 11, 03)**

6.3.1 If the entry summary is rejected because it should have been filed as an entry type other than an entry type 01, 11, or 03, or in the situation where an ACE AD/CVD entry summary should be an 01 entry type, the filer must retransmit a corrected entry summary. To do this, the filer must request that CBP inactivate the ACE entry summary in order to retransmit the entry summary to ACS using the same entry number. If the entry summary is inactivated in ACE, CBP will return any related paper documents to the filer, along with a copy of the inactivation request (or reject response document) via the broker's box at the port of entry.

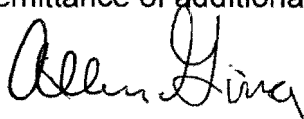
### **6.4 Time Limits**



6.4.1 The filer has 2 business days to retransmit the entry summary with the necessary corrections. The CBP user who initiated the reject will receive an inbox notification when the filer retransmits the entry summary.

6.4.2 The retransmitted entry summary must be accepted in ACE before the CBP user may close the reject action. If the transmitted entry summary or reject response does not address the reason for the reject, the retransmitted entry summary must first be accepted in ACE and/or the rejection action closed. A new reject action may be initiated to account for subsequent rejects on the same entry summary.

6.4.3 The filer may use a rejection response template (available on CBP.gov) to communicate with the port regarding the entry summary rejection. This includes remittance of additional monies due to CBP as a result of the reject.

A handwritten signature in black ink, appearing to read "Allen Ling". The signature is written in a cursive style with a large initial "A".

Assistant Commissioner  
Office of International Trade